

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Fumio FUTAMI, et al.

Application No.:

Group Art Unit:

Filed: November 27, 2001

Examiner:

For: METHOD AND DEVICE FOR SHAPING THE WAVEFORM OF AN OPTICAL SIGNAL



**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure provisions of 37 CFR § 1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the subject application.

1. Enclosures accompanying this Information Disclosure Statement are:

- 1a. ☒ Form PTO-1449.
- 1b. ☒ Copies of IDS citations.
- 1c. ☐ An English language copy of search report(s) from a counterpart foreign application or a PCT International Search Report.
- 1d. ☒ English language translation (complete or relevant portion(s)) attached to each non-English language publication.
- 1e. ☐ Explanations of Relevancy of References (ATTACHMENT 1(e), hereto) for providing a concise explanation of each non-English publication.

2. ☒ In accordance with 37 CFR § 1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is

(Check appropriate Items 2a, 2b, 2c and/or 2d)

- 2a. ☐ satisfied because all non-English language publications were cited on the enclosed "English-language version of the search report or action which indicates the degree of relevance found by the foreign office". (See MPEP 609, Minimum Requirements for an Information Disclosure Statement, Part A(3): Concise Explanation of Relevance, pp. 600-100 to 600-101, Rev. 1, Feb. 2000.)
- 2b. ☐ set forth in the application.

- 2c. ☒ satisfied because an English language translation (complete or relevant portion(s)) is attached to each non-English language publication.
- 2d. ☐ enclosed as Attachment 1(e), hereto.
3. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than search report(s) from a counterpart foreign application or a PCT International Search Report, if submitted herewith). 37 CFR §§ 1.97(g) and (h).


Respectfully submitted,

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FORM PTO-1449  <b>U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE</b>	ATTORNEY DOCKET NO. <b>837.1975</b>	APPLICATION NO. <div style="text-align: right;">             11/28/01         </div>
<b>LIST OF REFERENCES CITED BY APPLICANT</b>  <i>(Use several sheets if necessary)</i>		FIRST NAMED INVENTOR <b>Fumio FUTAMI, et al.</b>
FILING DATE <b>November 27, 2001</b>		GROUP ART UNIT

### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						

### FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	AG	JP 10078595A	3/24/98	Japan			Abst	
	AH							
	AI							
	AJ							
	AK							
	AL							

### OTHER REFERENCES (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

	AM	Tomoyuki Akiyama et al., "Application of Spectral-Hole Burning in the Inhomogeneously Broadened Gain of Self-Assembled Quantum Dots to a Multiwavelength-Channel Nonlinear Optical Device", IEEE Photonics Technology Letters, Vol. 12, No. 10, pgs. 1301-1303, October 2000.
	AN	T. Akiyama, "WDM Multi-Channel Nonlinear Device Utilizing Inhomogeneously-Broadened Gain of Self-Assembled Quantum Dots", 26 <sup>th</sup> European Conference on Optical Communication, September 3-7, 2000, Munich, Germany.
	AO	M. Suzuki, et al., "Effect of Hole Pile-Up At Heterointerface on Modulation Voltage in GaInAsP Electroabsorption Modulators, Electronics Letters, 19 <sup>th</sup> January, 1989, Vol. 25, No. 2, pgs. 88-89.

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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	AM	N. Edagawa, et al. "Novel Wavelength Converter Using An Electroabsorption Modulator", IEICE Transactions on Electronics, Vol. E81-C, No. 8, pgs. 251-1257, August 1998
	AN	
	AO	

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